

11/06/01  
J1129 U.S. PTO

11-27-01

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Please type a plus sign (+) inside this box → PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 476-2024.1  |
| First Inventor         | Wittmann  |
| Title                  | Anti-Reflection Coatings for Semiconductor Lasers |
| Express Mail Label No. | EL761854466US                                     |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 15]  
(preferred arrangement set forth below)
 

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 11]

5. Oath or Declaration [Total Pages 5]
 

- a.  Newly executed (original or copy)
- b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
 

- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies); or
  - ii.  paper
- c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  
(when there is an assignee)  Power of Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|  |   |  |
|--|---|--|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here) | or <input type="checkbox"/> Correspondence address below |
|--|---|--|

|         |  |           |              |          |              |
|---------|--|-----------|--------------|----------|--------------|
| Name    | Lee, Mann, Smith, McWilliams, Sweeney & Ohlson |           |              |          |              |
| Address | P.O. Box 2786                                  |           |              |          |              |
| City    | Chicago  | State     | Illinois     | Zip Code | 60690-2786   |
| Country | Cook   | Telephone | 312-368-1300 | Fax      | 312-368-0034 |

|                   |                     |                                   |          |
|-------------------|---------------------|-----------------------------------|----------|
| Name (Print/Type) | William M. Lee, Jr. | Registration No. (Attorney/Agent) | 26,935   |
| Signature         |                     | Date                              | 11-06-01 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$780.00

## Complete if Known

|                      |            |
|----------------------|------------|
| Application Number   |            |
| Filing Date          |            |
| First Named Inventor | Wittmann   |
| Examiner Name        |            |
| Group Art Unit       |            |
| Attorney Docket No.  | 476-2024.1 |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **12-0913**

Deposit Account Name

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 Applicant claims small entity status. See 37 CFR § 1.27

2.  Payment Enclosed:

 Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee | Fee Description           | Fee Paid        |
|---------------|---------------|-----|---------------------------|-----------------|
| 101           | 740           | 201 | 370 Utility filing fee    | <b>740.00</b>   |
| 106           | 330           | 206 | 165 Design filing fee     |                 |
| 107           | 510           | 207 | 255 Plant filing fee      |                 |
| 108           | 740           | 208 | 370 Reissue filing fee    |                 |
| 114           | 160           | 214 | 80 Provisional filing fee |                 |
| SUBTOTAL (1)  |               |     |                           | <b>\$740.00</b> |

## 2. EXTRA CLAIM FEES

| Extra Claims                | Fee from below   | Fee Paid          |
|-----------------------------|------------------|-------------------|
| Total Claims <b>14</b>      | <b>-20** = 0</b> | <b>X 0 = 0.00</b> |
| Independent Claims <b>2</b> | <b>-3** = 0</b>  | <b>X 0 = 0.00</b> |
| Multiple Dependent          |                  |                   |

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee | Fee Description  | Fee Paid      |
|---------------|---------------|-----|--|---------------|
| 103           | 18            | 203 | 9 Claims in excess of 20                                     |               |
| 102           | 84            | 202 | 42 Independent claims in excess of 3                         |               |
| 104           | 280           | 204 | 140 Multiple dependent claim, if not paid                    |               |
| 109           | 84            | 209 | 42 ** Reissue independent claims over original patent        |               |
| 110           | 18            | 210 | 9 ** Reissue claims in excess of 20 and over original patent |               |
| SUBTOTAL (2)  |               |     |  | <b>\$0.00</b> |

\*or number previously paid, if greater; For Reissues, see above

| 3. ADDITIONAL FEES  | Large Entity | Small Entity | Fee Description   | Fee Paid     |
|---------------------|--------------|--------------|---|--------------|
| 105                 | 130          | 205          | 65 Surcharge - late filing fee or oath  |              |
| 127                 | 50           | 227          | 25 Surcharge - late provisional filing fee or cover sheet                     |              |
| 139                 | 130          | 139          | 130 Non - English specification   |              |
| 147                 | 2,520        | 147          | 2,520 For filing a request for ex parte reexamination                         |              |
| 112                 | 920*         | 112          | 920* Requesting publication of SIR prior to Examiner action                   |              |
| 113                 | 1,840*       | 113          | 1,840* Requesting publication of SIR after Examiner action                    |              |
| 115                 | 110          | 215          | 55 Extension for reply within first month                                     |              |
| 116                 | 400          | 216          | 200 Extension for reply within second month                                   |              |
| 117                 | 920          | 217          | 460 Extension for reply within third month                                    |              |
| 118                 | 1,440        | 218          | 720 Extension for reply within fourth month                                   |              |
| 128                 | 1,960        | 228          | 980 Extension for reply within fifth month                                    |              |
| 119                 | 320          | 219          | 160 Notice of Appeal  |              |
| 120                 | 320          | 220          | 160 Filing a brief in support of an appeal                                    |              |
| 121                 | 280          | 221          | 140 Request for oral hearing  |              |
| 138                 | 1,510        | 138          | 1,510 Petition to institute a public use proceeding                           |              |
| 140                 | 110          | 240          | 55 Petition to revive - unavoidable   |              |
| 141                 | 1,280        | 241          | 640 Petition to revive - unintentional  |              |
| 142                 | 1,280        | 242          | 640 Utility issue fee (or reissue)  |              |
| 143                 | 460          | 243          | 230 Design issue fee  |              |
| 144                 | 620          | 244          | 310 Plant issue fee   |              |
| 122                 | 130          | 122          | 130 Petitions to the Commissioner   |              |
| 123                 | 50           | 123          | 50 Processing fee under 37 CFR § 1.17(q)                                      |              |
| 126                 | 180          | 126          | 180 Submission of Information Disclosure Statement                            |              |
| 581                 | 40           | 581          | 40 Recording each patent assignment per property (times number of properties) | <b>40.00</b> |
| 146                 | 740          | 246          | 370 Filing a submission after final rejection (37 CFR § 1.129(a))             |              |
| 149                 | 740          | 249          | 370 For each additional invention to be examined (37 CFR § 1.129(b))          |              |
| 179                 | 740          | 279          | 370 Request for Continued Examination (RCE)                                   |              |
| 169                 | 900          | 169          | 900 Request for expedited examination of a design application                 |              |
| Other fee (specify) |              |              |   |              |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

**\$40.00**

## SUBMITTED BY

| Name (Print/Type) | William M. Lee, Jr. | Registration No. (Attorney/Agent) | 26,935 | Telephone | 312-368-1300 |
|-------------------|---------------------|-----------------------------------|--------|-----------|--------------|
| Signature         |                     | Date                              |        |           | 11-06-01     |

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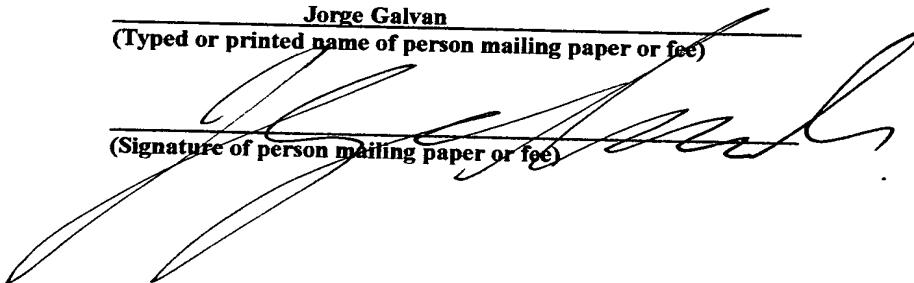
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Addressee" service under 37 CFR 1.10 on the date indicated above  
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Washington, D.C. 20231.

**Jorge Galvan**  
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

A handwritten signature in black ink, appearing to read "Jorge Galvan", is written over the typed name and the signature line. The signature is fluid and cursive, with a distinct 'J' at the beginning.